

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail**

**Mail Stop ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
**(703) 746-4000**

or **Fax**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

**William J. Burke**  
**Sarnoff Corporation**  
**C/O Patent Operations**  
**201 Washington Road**  
**Princeton, NJ 08543-5300**

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO, on the date indicated below.

|                     |                    |
|---------------------|--------------------|
| <u>Jean Sanders</u> | (Depositor's name) |
| <u>[Signature]</u>  | (Signature)        |
| <u>7/7/04</u>       | (Date)             |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/973,431      | 10/09/2001  | Liyon Yang           | SAR 14083           | 6286             |

TITLE OF INVENTION: INTEGRATED OPTICAL SWITCH

| APPLN. TYPE    | SMALL ENTITY | ISSUE FEE | PUBLICATION FEE | TOTAL FEE(S) DUE | DATE DUE   |
|----------------|--------------|-----------|-----------------|------------------|------------|
| nonprovisional | NO           | \$1330    | \$0             | \$1330           | 07/08/2004 |

| EXAMINER       | ART UNIT | CLASS-SUBCLASS |
|----------------|----------|----------------|
| ASSAF, FAYEZ G | 2872     | 385-016000     |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 William J. Burke, Esq.

2 \_\_\_\_\_

3 \_\_\_\_\_

## 3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Sarnoff Corporation

Princeton, NJ / USA

Please check the appropriate assignee category or categories (will not be printed on the patent); ☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

4b. Payment of Fee(s):

- ☒ Issue Fee
- ☐ Publication Fee
- ☒ Advance Order - # of Copies 3

- ☐ A check in the amount of the fee(s) is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number 04-0203 (enclose an extra copy of this form).

Director for Patents is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signature)

(Date)

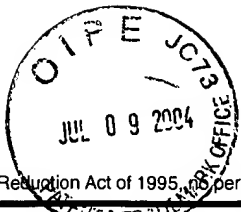
NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney, or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Alexandria, Virginia 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, Virginia 22313-1450.**

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07/13/2004 RMEBRAH1 00000015 040203 09973431  
 01 FC:1501 1330.00 DA  
 02 FC:8001 9.00 DA

TRANSMIT THIS FORM WITH FEE(S)



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Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$1,339.00

## Complete if Known

Application Number 09/973,431

Filing Date 10/09/01

First Named Inventor Yang, Liyou

Examiner Name Assaf, Fayeze G.

Group Art Unit 2872

Attorney Docket No. SAR 14083

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number

04-0203

Deposit  
Account  
Name

Sarnoff Corporation

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     |          |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        |          |

### 2. EXTRA CLAIM FEES FOR UTILITY AND

| Total Claims |                    | Extra Claims |        | Fee from below | Fee Paid |
|--------------|--------------------|--------------|--------|----------------|----------|
| Independent  | Multiple Dependent | -20** =      | -3** = |                |          |
|              |                    | 0            | 0      | X              | 0.00     |
|              |                    |              |        | X              | 0.00     |
|              |                    |              |        |                |          |

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |          |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                          |          |
| 104          | 280      | 204          | 140      | Multiple dependent claim, if not paid                      |          |
| 109          | 84       | 209          | 42       | ** Reissue independent claims over original patent         |          |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |  | \$0.00   |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity                      |          | Small Entity |          | Fee Description  | Fee Paid |
|-----------------------------------|----------|--------------|----------|--|----------|
| Fee Code                          | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                               | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                               | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                               | 130      | 139          | 130      | Non - English specification  |          |
| 147                               | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                               | 920*     | 112          | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                               | 1,840*   | 113          | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                               | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                               | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                               | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                               | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                               | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                               | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                               | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                               | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                               | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                               | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                               | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                               | 1,280    | 242          | 640      | Utility issue fee (or reissue)   | 1,330.00 |
| 143                               | 460      | 243          | 230      | Design issue fee   |          |
| 144                               | 620      | 244          | 310      | Plant issue fee  |          |
| 122                               | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                               | 50       | 123          | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                               | 180      | 126          | 180      | Submission of Information Disclosure Statement                             |          |
| 581                               | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                               | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                               | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                               | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                               | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) Fee Code 8001 |          |              |          |  | 9.00     |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$1,339.00

## SUBMITTED BY

Name (Print/Type)

Abhik A. Huq, Esq.

Registration No.  
(Attorney/Agent)

40,656

## Complete (if applicable)

Telephone

609-734-3161

Signature

Date

7/6/04

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
SAR 14083

In Re Application Of Yang, Liyou

Serial No.  
09/973,431

Filing Date  
10/09/01

Examiner  
Assaf, Fayez G.

Group Art Unit  
2872

Title: **INTEGRATED OPTICAL SWITCH**

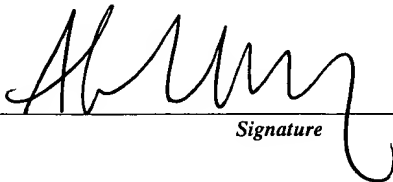
TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

**Issue Fee Transmittal**  
**Fee Transmittal**

in the above identified application.

- ☐ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **04-0203** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$1,339.00**
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

  
Signature

Dated: 7/16/04

**Abhik A. Huq, Esq.**  
**Attorney for Applicants**  
**Registration No. 40,656**

I certify that this document and fee is being deposited on 7/17/04 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Signature of Person Mailing Correspondence

**Joan Sanders**

Typed or Printed Name of Person Mailing Correspondence

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